

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	09/683,374	
	Filing Date	December 19, 2001	
	First Named Inventor	John C. Chappell	
	Group Art Unit	Unknown	
	Examiner Name	Unknown	
Total Number of Pages in This Submission	87	Attorney Docket Number	3383.1

RECEIVED  
FEB 15 2002  
PATENT & TRADEMARK OFFICE

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)  Remarks	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard

RECEIVED

FEB 26 2002

Technology Center 2600

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Alan B. Sherr
Signature	<i>Alan B. Sherr</i>
Date	January 3, 2002

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: January 4, 2002			
Typed or printed name	Gilda T. Carr		
Signature	<i>Gilda T. Carr</i>	Date	January 4, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PATENT  
Attorney Docket No. 3383.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: John C. Chappell

Examiner: Unknown

Serial No: 09/683,374

Group Art Unit: Unknown

Filing Date: December 19, 2001

INFORMATION DISCLOSURE  
STATEMENT

Title: **System and Method for  
Addressable Light-Directed  
Microarray Printing**

**RECEIVED**

FEB 26 2002

Commissioner for Patents  
Washington, D.C. 20231

**Technology Center 2600**

Sir:

Pursuant to 37 CFR § 1.56, § 1.97 and § 1.98, the documents listed on the accompanying U.S. Patent & Trademark Office's Modified Form-1449 are called to the attention of the Examiner for the above patent application.

Citation of this document shall not be construed as (1) an admission that the documents are necessarily prior art with respect to the instant invention; (2) a representation that a search has been made, other than as described above; or (3) an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 01-0431. Please deduct any additional fees from, or credit any overpayment to the above-noted Deposit Account.

Dated: Jan. 3, 2002

Respectfully submitted,

Alan B. Sherr  
Reg. No. 42,147

Legal Department  
Affymetrix, Inc.  
3380 Central Expressway  
Santa Clara, CA 95051  
Tel: 408/731-5000  
Fax: 408/731-5392

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 2

**Complete if Known**

Application Number	09/683,374
Filing Date	December 19, 2001
First Named Inventor	John C. Chappell
Group Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	3383.1

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
	1	US-6,320,994	Nov. 20, 2001	Donald et al	
	2	US- 6,307,042	Oct. 23, 2001	Goldberg et al	
	3	US- 6,271,957	Aug. 7, 2001	Quate et al	
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			
		US-			

**RECEIVED****FEB 26 2002****Technology Center 2600****FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

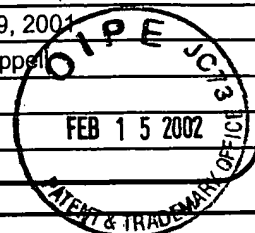
2

of

2

**Complete if Known**

Application Number	09/683,374
Filing Date	December 19, 2001
First Named Inventor	John C. Chappell
Group Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	3383.1

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	4	SANGEET SINGH-GASSON, ROLAND D. GREEN, YONGJIAN YUE, CLARK NELSON, FRED BLATTNER, MICHAEL R. SUSSMAN, AND FRANCO CERRINA, Maskless Fabrication of Light-Directed Oligonucleotide Microarrays Using a Digital Micromirror Array, Nature Biotechnology Vol. 17, October, 1999, Pages 974-978, 1999 Nature America Inc. - <a href="http://biotech.nature.com">http://biotech.nature.com</a>	
	5	MARKUS BEIER and JORG D. HOEISEL, Production by Quantitative Photolithographic Synthesis of Individually Quality Checked DNA Microarrays, e11 Nucleic Acids Research, 2000, Vol. 28, No. 4, Pages i - vi, 2000 Oxford University Press	
	6	ERIC LEPROUST, JEAN PHILIPPE PELLOIS, PEILIN YU, HUA ZHANG, and XIAOLIAN GAO (Dept. of Chemistry, Univ. of Houston); ONNOP SRIVANNAVIT and ERDOGAN GULARI (Dept. of Chemical Engineering, Univ. of Michigan); and XIAOCHUAN ZHOU (Xeotron Corp.), Digital Light-Directed Synthesis. A Microarray Platform That Permits Rapid Reaction Optimization on a Combinatorial Basis, J. Comb. Chem. 2000, 2, 349-354, 2000 American Chemical Society, Published on Web 06/06/2000	
	7	ASIL, DigiWave (TM) ASOE, <a href="http://www.digilens.com/products/asoe.htm">http://www.digilens.com/products/asoe.htm</a> , 12/15/2000	

**RECEIVED****FEB 26 2002****Technology Center 2600**Examiner  
SignatureDate  
Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.